| 29 200 2                                             |                                                                                        | PTO/SB/21 (08-03)<br>Approved for use through 07/31/2006. OMB 0651-0031                                               |
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|                                                      | U.S. Pater<br>no persons are required to respond to a collection<br>Application Number | nt and Trademark Office; U.S. DEPARTMENT OF COMMERCE on of information unless it displays a valid OMB control number. |
| TRANSMITTAL                                          |                                                                                        | 10/645,826                                                                                                            |
|                                                      | Filing Date                                                                            | August 20, 2003                                                                                                       |
| FORM                                                 | First Named Inventor                                                                   | Spencer B. Dick                                                                                                       |
| (to be used for all correspondence after initial fil | ing) Art Unit                                                                          |                                                                                                                       |
|                                                      | Examiner Name                                                                          |                                                                                                                       |
| Total Number of Pages in This Submission             | 7 Attorney Docket Number                                                               | PAI 310                                                                                                               |
|                                                      | ENCLOSURES (Check all that                                                             | t apply)                                                                                                              |
| Fee Transmittal Form                                 | Drawing(s)  Licensing-related Papers                                                   | After Allowance communication to Group  Appeal Communication to Board                                                 |
| Fee Attached  Amendment/Reply                        | Petition                                                                               | of Appeals and Interferences Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)                        |
| After Final                                          | Petition to Convert to a Provisional Application                                       | Proprietary Information                                                                                               |
|                                                      | Power of Attorney, Revocation                                                          |                                                                                                                       |
| Affidavits/declaration(s)                            | Change of Correspondence Addr                                                          |                                                                                                                       |
| Extension of Time Request                            | Terminal Disclaimer                                                                    | Other Enclosure(s) (please Identify below):                                                                           |
| Express Abandonment Request                          | Request for Refund                                                                     | -return receipt postcard                                                                                              |
| Information Disclosure Statement                     | CD, Number of CD(s)                                                                    | ·                                                                                                                     |
| Certified Copy of Priority Document(s)               | Remarks                                                                                |                                                                                                                       |
| Response to Missing Parts/ Incomplete Application    |                                                                                        |                                                                                                                       |
| Response to Missing Parts                            |                                                                                        |                                                                                                                       |
| under 37 CFR 1.52 or 1.53                            | •                                                                                      |                                                                                                                       |
|                                                      |                                                                                        |                                                                                                                       |
| SIGNAT                                               | URE OF APPLICANT, ATTORN                                                               | EY, OR AGENT                                                                                                          |
| Firm Pierre C. Van Rysselb                           | perghe                                                                                 |                                                                                                                       |
| Individual name Kolisch Hartwell, P.C.               | <del>\</del>                                                                           | · · · · · · · · · · · · · · · · · · ·                                                                                 |
| Signature Park                                       |                                                                                        |                                                                                                                       |
| Date January 27, 2004                                |                                                                                        |                                                                                                                       |
| CE                                                   | RTIFICATE OF TRANSMISSION                                                              | N/MAILING                                                                                                             |
|                                                      |                                                                                        | r deposited with the United States Postal Service with tents, P.O. Box 1450, Alexandria, VA 22313-1450 on             |
| Typed or printed name Pamela A. Kni                  | ght                                                                                    |                                                                                                                       |
| Signature Alluw                                      | Mento                                                                                  | Date January 27, 2004                                                                                                 |

This collection of information is required by 37 CFR 18. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

January 27, 2004

SPENCER B. DICK, WESLEY ADAY, DAVID A. MORGAN and DAVID LEE

Serial No.

10/645,826

Our File - PAI 310

Filed

August 20, 2003

Art Unit 3722

For

PROCESS MANAGEMENT SYSTEM AND METHOD

Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450

Sir:

# INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §§ 1.56, 1.97, and 1.98

Applicants are submitting this Information Disclosure Statement pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98 to disclose to the U.S. Patent and Trademark Office the patents, publications, applications, and/or other references listed on the enclosed, completed PTO-1449 form(s). The filing of this Information Disclosure Statement should not be construed as a representation that a search has been made or as an admission that the listed references are prior art for this application. Applicants respectfully request that the listed references be expressly considered during prosecution of the application, and that the references be made of record therein and appear among the "references cited" on any patents issuing therefrom.



## CONTENT OF DISCLOSURE

This Information Disclosure Statement includes (1) four (4) pages of PTO-1449 forms, and (2) a legible copy of each foreign and non-patent reference, if any, listed on the form(s). However, because this application was filed on or after July 1, 2003, no copies of U.S. patents or published U.S. patent applications are included.

### TIMING OF DISCLOSURE / FEE INFORMATION

This Information Disclosure Statement is being filed, to the best of the undersigned's knowledge, either (1) before the mailing of a first Office action on the merits, or (2) before the mailing of a first Office action after the filing of a request for continued examination under 37 C.F.R. § 1.114. Therefore, in accordance with 37 C.F.R. § 1.97(b), no fee or statement under 37 C.F.R. § 1.97(e) is required.

Please contact the undersigned with any questions or comments regarding this Information Disclosure Statement.

#### **CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450, on January 27, 2004.

Pamela A. Knight Date of Signature: January 27, 2004

Respectfully submitted,

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Telephone: (503) 224-6655 Facsimile: (503) 295-6679 of Attorneys for Assignee

SHEET \_1\_ OF \_4\_ APPLICATION NUMBER M PTO-1449 **DOCKET NUMBER PAI 310** 10/645,826 INFORMATION DISCLOSURE APPLICANT(S) CITATION IN AN APPLICATION Spencer B. Dick et al. **GROUP ART UNIT** FILING DATE August 20, 2003 3722 **U.S. PATENT DOCUMENTS** FIL. DATE IF APPROP. CLASS SUB CLASS EXAMINER INITIAL DOCUMENT NUMBER DATE NAME Mori et al. Re.35,663 11/18/97 Johnson et al. 2,577,766 12/11/51 2/23/65 Wright 3,170,736 Taniguchi 3,566,239 7/3/67 Beach 9/12/69 3,584,284 Schmidt 3,814,153 6/4/74 Lemelson 12/17/74 3,854,889 9/9/80 Mueller et al. 4,221,974 De Muynck 4,260,001 4/7/81 Antoine 11/9/82 4,358,166 6/12/84 Loizeau 4,453,838 FOREIGN PATENT DOCUMENTS COUNTRY CLASS SUB TRANSLATION DOCUMENT DATE CLASS NO YES NUMBER OTHER DOCUMENTS DATE CONSIDERED **EXAMINER** 

| ORM PTO-1449  INFORMATION DISCLOSURE  CITATION IN AN APPLICATION |                    |                                       | DOCKET NUMBER<br>PAI 310            |       | APPLICATION NUMBER 10/645,826 |            |                         |  |  |  |
|------------------------------------------------------------------|--------------------|---------------------------------------|-------------------------------------|-------|-------------------------------|------------|-------------------------|--|--|--|
|                                                                  |                    |                                       | APPLICANT(S) Spencer B. Dick et al. |       |                               |            |                         |  |  |  |
|                                                                  |                    |                                       | FILING DATE August 20, 2003         |       | GROUP ART UNIT 3722           |            |                         |  |  |  |
|                                                                  |                    | U.S. PA                               | TENT DOCUMENTS                      |       |                               |            |                         |  |  |  |
| EXAMINER<br>INITIAL                                              | DOCUMENT<br>NUMBER | DATE                                  | NAME                                | CLA   | SS SU                         |            | FIL. DATE<br>IF APPROP. |  |  |  |
|                                                                  | 4,472,783          | 9/18/84                               | Johnstone et al.                    |       |                               |            |                         |  |  |  |
|                                                                  | 4,725,961          | 2/16/88                               | Pearl                               |       |                               |            |                         |  |  |  |
|                                                                  | 4,874,996          | 10/17/89                              | Rosenthal                           |       |                               |            |                         |  |  |  |
|                                                                  | 4,878,524          | 11/7/89                               | Rosenthal et al.                    |       |                               |            |                         |  |  |  |
| ,                                                                | 5,054,938          | 10/8/91                               | Ide                                 |       |                               |            |                         |  |  |  |
|                                                                  | 5,197,172          | 3/30/93                               | Takagi et al.                       |       |                               |            |                         |  |  |  |
|                                                                  | 5,251,142          | 10/5/93                               | Cramer                              |       |                               |            |                         |  |  |  |
|                                                                  | 5,266,878          | 11/30/93                              | Makino et al.                       |       |                               |            |                         |  |  |  |
|                                                                  | 5,365,812          | 11/22/94                              | Harnden                             |       |                               |            |                         |  |  |  |
|                                                                  | 5,418,729          | 5/23/95                               | Holmes et al.                       |       |                               |            |                         |  |  |  |
|                                                                  | 5,444,635          | 8/22/95                               | Blaine et al.                       |       |                               | <u> </u>   |                         |  |  |  |
|                                                                  |                    | FOREIGN I                             | PATENT DOCUMEN                      | NTS   |                               |            |                         |  |  |  |
|                                                                  | DOCUMENT<br>NUMBER | DATE                                  | COUNTRY                             | CLASS | SUB<br>CLASS                  | TRA<br>YES | NSLATION NO             |  |  |  |
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|                                                                  | <u> </u>           | OTH                                   | ER DOCUMENTS                        |       |                               |            |                         |  |  |  |
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| XAMINER                                                          |                    |                                       | DATE CONSIDERED                     |       |                               |            |                         |  |  |  |

| ORM PTO-1449  INFORMATION DISCLOSURE  CITATION IN AN APPLICATION |                      |         | DOCKET NUMBER PAI 310               |      | APPLICATION NUMBER 10/645,826 |             |                      |   |             |  |
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|                                                                  |                      |         | APPLICANT(S) Spencer B. Dick et al. |      |                               |             |                      |   |             |  |
|                                                                  |                      |         | FILING DATE<br>August 20, 2003      |      | GROUP ART UNIT 3722           |             |                      |   |             |  |
|                                                                  |                      | U.S. PA | TENT DOCUMENTS                      |      |                               |             |                      |   |             |  |
| EXAMINER<br>INITIAL                                              | - DOCUMENT<br>NUMBER | DATE    | NAME                                |      | CLASS                         |             | SUB<br>CLASS         |   | ATE<br>ROP. |  |
|                                                                  | 5,472,028            | 12/5/95 | Faulhaber                           |      |                               |             |                      |   |             |  |
|                                                                  | 5,489,155            | 2/6/96  | Ide                                 |      |                               |             |                      |   |             |  |
|                                                                  | 5,524,514            | 6/11/96 | Hadaway et al.                      |      |                               |             |                      |   |             |  |
|                                                                  | 5,664,888            | 9/9/97  | Sabin                               |      |                               |             |                      |   |             |  |
|                                                                  | 5,797,685            | 8/25/98 | Jurik et al.                        |      |                               |             |                      |   |             |  |
|                                                                  | 5,798,929            | 8/25/98 | Stenzel et al.                      |      |                               |             |                      |   |             |  |
|                                                                  | 5,829,892            | 11/3/98 | Groves                              |      |                               |             |                      |   |             |  |
|                                                                  | 5,865,080            | 2/2/99  | Jackson                             | 1    |                               |             |                      |   |             |  |
|                                                                  | 5,933,353            | 8/3/99  | Abriam et al.                       |      |                               |             |                      |   |             |  |
|                                                                  | 5,938,344            | 8/17/99 | Sabin                               |      |                               |             |                      |   |             |  |
|                                                                  | 5,953,232            | 9/14/99 | Blaimschein                         |      |                               |             |                      |   |             |  |
|                                                                  |                      | FOREIGN | PATENT DOCUMEN                      | TS   |                               |             |                      |   |             |  |
| <u> </u>                                                         | DOCUMENT<br>NUMBER   | DATE    | COUNTRY                             | CLAS |                               | SUB<br>LASS | TRANSLATION<br>YES N |   |             |  |
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| INFORMATION DISCLOSURE CITATION IN AN APPLICATION |                    |                                |                                                 | AI 310 APPLICATION NUMBER 10/645,826 |              |     |              |     |  |             |
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|                                                   |                    |                                | APPLICANT(S) Spencer B. Dick et al.             |                                      |              |     |              |     |  |             |
|                                                   |                    |                                | FILING DATE GROUP ART UNIT August 20, 2003 3722 |                                      |              |     |              |     |  |             |
|                                                   |                    | U.S. PAT                       | EN.                                             | DOCUMENTS                            |              |     |              |     |  |             |
| EXAMINER<br>INITIAL                               | DOCUMENT<br>NUMBER | DATE NAME CLASS SUB F CLASS IF |                                                 |                                      |              |     |              |     |  |             |
|                                                   | 5,964,536          | 10/12/99                       | K                                               | noshita                              |              |     |              |     |  |             |
|                                                   | 6,144,895          | 11/7/00                        | G                                               | ovindaraj et al.                     |              |     |              |     |  |             |
|                                                   | 6,263,773          | 7/24/01                        | M                                               | cAdoo et al.                         |              |     |              |     |  |             |
|                                                   | 6,272,437          | 8/7/01                         | W                                               | oods et al.                          |              |     |              |     |  |             |
|                                                   | 6,379,048          | 4/30/02                        | Bı                                              | issette                              |              |     |              |     |  |             |
|                                                   | 6,463,352          | 10/8/02                        | Ta                                              | dokoro et al.                        |              |     |              |     |  |             |
|                                                   | 6,470,377          | 10/22/02                       | Se                                              | vcik et al.                          |              |     |              |     |  |             |
|                                                   | 6,510,361          | 1/21/03                        | G                                               | ovindaraj et al.                     |              |     |              |     |  |             |
|                                                   | 6,520,228          | 2/18/03                        | K                                               | ennedy et al.                        |              |     |              |     |  |             |
|                                                   |                    | ·                              |                                                 |                                      |              |     |              |     |  |             |
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|                                                   |                    | FOREIGN P                      | ATI                                             | ENT DOCUMEN                          | TS           |     |              |     |  |             |
|                                                   | DOCUMENT<br>NUMBER | DATE                           |                                                 | COUNTRY                              | CL           | ASS | SUB<br>CLASS | YES |  | ATION<br>NO |
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|                                                   |                    |                                |                                                 |                                      | <del> </del> |     |              |     |  |             |
| EXAMINER                                          |                    |                                |                                                 | DATE CONSIDERED                      |              |     |              |     |  |             |